

# VERIFIED SMALL ENTITY DECLARATION (Small Business)

In re Application of: **Winston Donald Keach**

Docket No.: **46354.010500**

Serial Number: **09/994,919**

Art Unit: Unassigned

Filing Date: **November 28, 2001**

Examiner: Unassigned

Title: **Secure File Transfer Method and System**

I hereby declare that I am:

☐ The owner of the small business concern identified below:

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☒ An official of the small business concern identified below empowered to ~~act on behalf of~~ said small business concern:

**NAME OF CONCERN:** Swivel Technologies Limited

**ADDRESS OF CONCERN:** 2 Butter Lane, Knaresborough HG5 8AL, North Yorkshire, England

I hereby declare that the above-identified small business concern qualifies as a small business concern as defined in 13 C.F.R. §121.3-18 and reproduced in 37 C.F.R. §1.9(d) for purposes of paying reduced fees under 35 U.S.C. §41(a) and §41(c), in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time, or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the above-identified invention described in:

☐ The Specification filed herewith.

☒ The Application identified above.

I hereby declare that rights under contract law have been conveyed to and remain with the above entity with regard to the above-identified invention. If the rights held by the above entity are not exclusive, each individual, concern or organization having rights in the invention must file separate statements as to their status as small entities and that no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 2.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d).

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of any fee, the issue fee, or any maintenance fee due after the date on which status as a small entity is no longer appropriate, as set forth in 37 C.F.R. §1.28(b)

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. §1001, and that such willful false statements may jeopardize the validity of the Application, any Patent issuing thereon, or any Patent to which this Verified Statement is directed.

Name of Person Signing:

**Paul L. Ratcliffe**

Title of Person Signing

**Attorney**

Address of Person Signing:

**Greenberg Traurig**

1750 Tysons Blvd. Suite 1200

McLean, VA 22102

Signature

*Paul L. Ratcliffe* (45,290)

Date:

*2/5/02*